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Approval:	Original Signed by Mark Arenaz Manager, National Spent Nuclear Fuel Program	Date: 12/18/01
Approval:	Original Signed by Robert Blyth NSNFP Quality Assurance Program Manager	Date: 12/18/01

I. PURPOSE AND SCOPE

This procedure establishes the process and responsibilities of the National Spent Nuclear Fuel Program (NSNFP) for training and qualifying personnel who perform audits, and for maintaining lead auditor proficiency.

II. SUMMARY


This procedure covers the qualification process for NSNFP Quality Assurance (QA) staff, auditors, lead auditors, and technical specialists, and the process for maintaining lead auditor proficiency. This process requires that personnel being considered for one of these positions provide documentation to demonstrate their qualifications. Training and qualifications are documented, verified, and reviewed prior to approval and certification by the NSNFP QA Program Manager (QAPM).

The Quality Assurance Staff Manager (QASM) may delegate actions in this procedure to Quality Assurance Specialists (QAS).

III. PROCEDURE

A. Qualification of Auditors


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| QASM | 1. | Identify personnel to meet the NSNFP assessment schedule, audit, or surveillance requirements. |
| QAPM/
QASM | 2. | Provide prospective auditors with Form 18.04-1, "NSNFP Auditor Qualification Record," and the instructions to complete the form. Request copies of objective evidence of relevant experience, previous orientation, and training. |
| QASM | 3. | Verify that Form 2.08-1, "Personnel Experience Verification," has been submitted to the NSNFP training coordinator for the prospective auditors. Ensure verifications of education and experience are completed. Initiate training as applicable in accordance with Program Management Procedure (PMP) 2.04. |
| | 4. | Verify that the prospective auditor has at least one of the following: |
| | a. | General training; including fundamentals, objectives, and techniques for performing audits. |

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| QASM | <ul style="list-style-type: none"> b. Specialized training; including methods of examining, questioning, evaluating, and documenting specific audit items and methods of closing conditions adverse to quality, including significant conditions adverse to quality and stop work requests. c. On-the-job training, guidance, and counseling under the direct supervision of a certified lead auditor. Such training must include planning, performing, reporting, and follow-up actions involved in conducting audits. d. Training conducted by Office of Civilian Radioactive Waste Management (OCRWM) or an OCRWM-recognized training provider sufficient for qualification to perform audits in accordance with DOE/RW-0333P. |
| | 5. Document the training from Step A.4 of this procedure on Form 18.04-1 using input from the prospective auditor and ensure that the above training is documented on the form. |
| | 6. Compile training and qualification records to support completion of Form 18.04-1. Signify that training and qualification documentation is complete by signing and dating Form 18.04-1. |
| QAPM | 7. Approve individuals to perform audits by reviewing, signing, and dating Form 18.04-1. |

B. Qualification of Lead Auditors

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| QASM | <ul style="list-style-type: none"> 1. Provide prospective lead auditors with Form 18.04-2, "NSNFP Lead Auditor Qualification Record," and the instructions needed to complete the form. Request copies of objective evidence of previous orientation, training, and audits, such as certificates, training records, and points of contact. 2. Verify that Form 2.04-2, "Employee Qualification Form," reflecting training requirements for a lead auditor has been submitted to the NSNFP training coordinator for the prospective lead auditors. Ensure verifications of education and experience are completed per PMP 2.04. If training and verification are not initiated, complete Form 2.04-2, perform all actions per PMP 2.04, and submit the forms to the NSNFP training coordinator. 3. Review the information submitted by the prospective lead auditor in accordance with the instructions for Form 18.04-2; assess the prospective lead auditor's education, experience, and accomplishments; and document the results on the Form 18.04-2. |
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| QASM | <ol style="list-style-type: none"> a. Ensure that the prospective lead auditor has a minimum of 10 credits and has participated in a minimum of five QA audits within the 3 years prior to the date of certification; one of the audits must be a nuclear-related QA audit within the year preceding certification. 4. If documents from previous employers include equivalent information required by this procedure, review previous qualifications, attach the supporting documents, and mark Form 18.02-4 with the words “see attached records.” 5. If required, provide written justification for granting additional credits for other performance factors applicable to auditing and sign the NSNFP Lead Auditor Qualification Record. 6. Evaluate the prospective lead auditor’s oral and written communication ability and acknowledge qualifications by signing and dating the NSNFP Lead Auditor Qualification Record. 7. Ensure the prospective lead auditor has successfully passed an examination that evaluates the comprehension of and ability to apply required knowledge by completing one of the following: <ol style="list-style-type: none"> a. Lead auditor training and testing based on DOE/RW-0333P administered by a nationally recognized organization, such as the OCRWM. b. Lead auditor examination based on DOE/RW-0333P developed and administered by the QASM. If this is used: <ol style="list-style-type: none"> (1) Maintain the integrity of the examination through confidentiality of files. (2) Proctor examinations when necessary. (3) Develop and maintain objective evidence regarding the type and content of the examination. 8. Compile training and qualification records to support completion of Form 18.04-2. Signify that training and qualification documentation is complete by signing and dating Form 18.04-2. |
| QAPM | <ol style="list-style-type: none"> 9. Assess personnel qualifications and certify the candidate lead auditor to perform as a lead auditor by signing and dating Form 18.04-2. 10. If the NSNFP Lead Auditor Qualification Record is for the NSNFP QAPM, submit it to the Assistant Manager, Office of Technical Support, Idaho Operations Office, for evaluation, signature, and date. |

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C. Qualification of Lead Auditors Active in Other Programs


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| QASM | <ol style="list-style-type: none"> 1. Provide prospective lead auditors active in other programs with Form 18.04-3, "NSNFP Auditor Supplement Record," and the instructions needed to complete the form. Request copies of objective evidence of previous orientation, training, and audits, such as certificates, training records, and points of contact. 2. Verify that Form 2.04-2, "Employee Qualification Form," reflecting training requirements for a lead auditor has been submitted to the NSNFP training coordinator for the prospective lead auditor. <ol style="list-style-type: none"> a. Review previous NSNFP auditor qualification records to determine if additional training is required, such as a working knowledge and understanding of DOE/RW-0333P, and PMPs 16.02, 18.01, 18.02, and 18.03. b. Ensure that verifications of education and experience are completed in accordance with PMP 2.04. 3. Ensure the prospective lead auditor has successfully passed an examination that evaluates the comprehension of and ability to apply required knowledge by completing one of the following: <ol style="list-style-type: none"> a. Lead auditor training and testing based on DOE/RW-0333P administered by a nationally recognized organization, such as the OCRWM. b. Lead auditor examination based on DOE/RW-0333P developed and administered by the QASM. If this is used: <ol style="list-style-type: none"> (1) Maintain the integrity of the examination through confidentiality of files. (2) Proctor examinations when necessary. (3) Develop and maintain objective evidence regarding the type and content of the examination. 4. Document the test results on Form 18.04-3. 5. Attach a copy of the other organization's qualification records, and any new training records to Form 18.04-3. 6. Compile training and qualification records to support completion of Form 18.04-3. Signify that training and qualification documentation is complete by signing and dating Form 18.04-3. |
| QAPM | <ol style="list-style-type: none"> 7. Assess personnel qualifications and certify the candidate to lead audits by signing and dating Form 18.04-3 where indicated. |

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- QAPM 8. If Form 18.04-3 is for the NSNFP QAPM, submit the form to the Assistant Manager, Office of Technical Support, Idaho Operations Office for evaluation, signature, and date.

D. Maintaining Lead Auditor Proficiency

- QASM 1. Reevaluate lead auditor proficiency within 1 year of the date of the previous evaluation or qualification.
2. Annually access training and qualification records, and ensure that the lead auditor's proficiency is being maintained through one or a combination of the following:
- a. Active participation in at least one nuclear-related audit within the last year
- b. Completion of retraining on the audit process
- c. Review and study of codes, standards, implementing documents, instructions, and other documents related to the QA Program and program auditing
- d. Participation in QA training programs.
3. Require requalification of lead auditors who have not maintained proficiency for a period of 2 years or more. Requalification includes retraining and reexamination in accordance with the requirements of Subsection B, Steps 1 through 8. Coordinate or provide any required retraining and/or examination.
4. Document the lead auditor's participation by completing Form 18.04-4, "NSNFP Lead Auditor Maintenance of Proficiency Record."
5. Verify that training and requalification requirements are completed and documented by signing Form 18.04-4.
- QAPM 6. Assess qualifications, and evaluate the proficiency of each auditor to continue serving as a lead auditor. Based on the assessment, elect to extend the qualification, or require requalification.
7. Document the evaluation, including the basis for recertification, by completing Form 18.04-4. Indicate evaluation result with appropriate signature and date.
8. If the evaluation is for the QAPM, submit Form 18.04-4 to the Assistant Manager, Office of Technical Support, Idaho Operations Office, who will evaluate, sign, and date the form.

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E. Qualification of Technical Specialist

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| QASM | <ol style="list-style-type: none"> 1. Select technical specialists based on the level of experience or training commensurate with the scope, complexity, or special nature of the work being audited. 2. Verify that Form 2.04-2, "Employee Qualification Form," reflecting training requirements for a technical specialist, has been submitted to the NSNFP training coordinator for the prospective technical specialist. Ensure verifications of education and experience are completed per PMP 2.04. If training and verification are not initiated, complete Form 2.04-2, perform all actions per PMP 2.04, and submit the forms to the NSNFP training coordinator. |
| ATL | <ol style="list-style-type: none"> 3. Ensure that prospective technical specialists have the level of experience or training commensurate with the scope, complexity, or special nature of the work being audited. 4. Provide objective evidence of training and qualification by completing and signing Form 18.04-5, "NSNFP Technical Specialist Qualification Record." Include the signed qualification record in the QA record package for the audit/surveillance the technical specialist is qualified to perform. |

F. Maintenance of Working Files

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| QASM | <ol style="list-style-type: none"> 1. Maintain a working file with the qualification records for all active auditors and lead auditors. 2. Protect the records in a 1-hour fire-rated cabinet. 3. When an auditor or lead auditor becomes inactive and will not be retrained to reestablish proficiency, compile a records package for transmittal and classify the records as listed in Section VII. |
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IV. REFERENCES

- A. DOE/SNF/MTX-001, The National Spent Nuclear Fuel Program QARD Requirements Matrix, current revision.

V. DEFINITIONS

Terms appearing in italics followed by the notation "see glossary" are defined in the NSNFP Documents Manual Introduction and Glossary.

VI. ATTACHMENTS

None.

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VII. RECORDS

The following records that are generated as a result of this procedure require retention in accordance with the identified classification and NSNFP PMP 17.01.

Lifetime

- A. NSNFP Auditor Qualification Record and supporting documentation
- B. NSNFP Lead Auditor Qualification Record and supporting documentation
- C. NSNFP Lead Auditor Supplement Record and supporting documentation
- D. NSNFP Lead Auditor Maintenance of Proficiency Record and supporting documentation
- E. Examination, if given.

Nonpermanent

None.

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VIII. PROCEDURE FLOW DIAGRAM

